

**RECORD OF CHANGE**  
**194 (Grant or Assistance Application)**  
**4010**

This memorandum constitutes the record of changes made while updating the 194 (Grant or Assistance Application) implementation convention from version 3060 (NIST Special Publication 881-20, Control Number 003060F194\_0) to 4010.

Item	Location	Revision	Rationale	Disposition
1.	Transaction Set IC Note 2	Add new note. “Organizations also use this transaction set to submit budgets or revised budgets for previously submitted applications and to submit professional profiles.”	Identifies the additional functionality being added to the IC.	Done.
2.	Transaction Set IC Note 4	Add last sentence. “It may be used to transmit one or more professional profiles.”	Identifies the new professional profile functionality.	Done.
3.	1/BGN/020 BGN02 Note	Delete “Use is REQUIRED to...” from note.	Redundant. DE is mandatory.	Done.
4.	1/BGN/020 BGN03 Note	Deleted “Use is REQUIRED to...” from note.	Redundant. DE is mandatory.	Done.
5.	1/BGN/020 BGN04	Add DE note. “Preferred time format is HHMMSS.”	Clarification.	Done.
6.	1/BGN/020 BGN05 Code UT	Delete code UT - Universal Time Coordinate.	No business requirement.	Done.
7.	1/BGN/020 BGN06 Note	Add to the end of the last sentence. “...(N901 code KS).”	Clarification	Done
8.	1/BGN/020 BGN07 DE Note 1	Add “FG” and “TS” to Note 1.	Administrative change for code additions.	Done.
9.	1/BGN/020 BGN07 Code FG	Add code FG - Filing, with note. “Use to indicate the submission of a professional profile.”	Indicates the submission of a professional profile.	Done.
10.	1/BGN/020 BGN07 Code TS	Add code TS - Transfer Statement, with note. “Use to indicate an application which is the result of a transfer of the grant award from one organization to another.”	Indicates a transfer of a grant to another organization.	Done.
11.	1/PWK/050 PWK02 Code BE	Replace code BE - By Mail and Electronically with code EM - E-Mail.	More appropriate code.	Done.
12.	1/N9/060 Segment Note	Add “TS” to Segment Note. “...FM, <u>S4</u> , or <u>TS</u> ...”	Administrative change.	Done.
13.	1/N9/060 N901 Code 4W Code Note	Add “TS” to 4W Code Note. “...6R, <u>S4</u> , or <u>TS</u> ...”	Administrative change.	Done.

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14.	1/N9/060 N901 Code 6M	Add code 6M - Application Number. “When BGN07 is code 6R (Resubmission), use to indicate the application number of the original submission.”	New business requirement.	Done.
15.	1/N9/060 N901 Code CT Code Note	Add “TS” to Code Note. “...6S, <u>FM</u> , or <u>TS</u> ...”	Administrative change.	Done.
16.	1/N9/060 N901 Code L4	Add code “L4 Paragraph Number” to N901 code list with note. “Use to identify a special program cross-cut type of grant application. Use one of the codes listed in N902.”	Identify special program cross-cut grant applications.	Done.
17.	1/N9/060 N901 Code TN note	Modify note to read: “...code 7U in N907- <u>01</u> ...in N907- <u>02</u> .”	Administrative change.	Done.
18.	1/N9/060 N901 Code WK	Delete Note 2. Remove “1.” from first note. Change new Code Note to read: “ Use multiple occurrences of this loop as needed to indicate in N902 a keyword or thesaurus code for the area of science to which the application applies, or use N903 to provide free-form descriptive words.”	Deletes any reference to the grants keyword thesaurus and simplifies wording.	Done.
19.	1/N9/060 N902	Add DE Note. See Attachment 1, Item 19.	Provides a list of special program cross-cut grant applications.	Done.
20.	1/N9/060 N907-01	Replace code 87 - Functional Category with code 7U - Related Transaction Reference Number.	More appropriate code.	Done.
21.	1/MTX/080 Seg Notes	Modify both notes. Replace “N901” with “ <u>1/N901/060</u> ”.	Clarification	Done
22.	1/NM1/090 Seg Note	Change Note 2 to the second paragraph of Note 1. In last sentence, change “PER” to read: “ <u>1/PER/140</u> ”	Administrative change.	Done.
23.	1/NM1/090 Seg Note	Add new Note 3. Renumber old Note 3 to Note 4. “Use this NM1 loop to indicate the organization submitting a professional profile and the Federal Agency receiving it. Two iterations of this NM1 loop are REQUIRED using code FN to identify the filing organization and code KU to identify the receiving Federal agency or database.”	Indicates the use of the loop when submitting professional profiles	Done.
24.	1/NM1/090 Seg Note 3	Modify note as indicated. “...in NM108/09 <u>along with</u> the appropriate...”, “...name in the NM103 (and <u>1/N2/100</u> ...”, “...address in <u>1/N3/110-01/N4/120</u> .”	Clarification	Done
25.	1/NM1/090 NM101 Code 1B Note	In third sentence, replace “N3 - N4” with: “ <u>1/N3/110 - 1/N4/120</u> ”	Clarification	Done.

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26.	1/NM1/090 NM101 Code AD Note	In second sentence, replace “N3 - N4” with: <u>“1/N3/110 - 1/N4/120”</u> .	Clarification	Done.
27.	1/NM101/090 NM101 Code AZ	Add code AZ - Previous Name with note. “Use to indicate a predecessor principal investigator in the previous award.	Moved from Table 2.	Done.
28.	1/NM1/090 NM101 Code FA Note	Revise second sentence to read: <u>“...Use 2/NM101/340 code 61 to identify the place of performance associated with each appropriate HL loop.”</u>	Clarification	Done.
29.	1/NM1/090 NM101 Code FN	Add code FN - Filer Name with note. “Use is REQUIRED in a professional profile to indicate the organization filing the professional profile(s).”	Indicates the organization filing the professional profile.	Done.
30.	1/NM1/090 NM101 Code KU	Add code KU - Receiver Site with note. “Use is REQUIRED in a professional profile to indicate the receiving Federal agency or Federal database.”	Indicates the Federal agency receiving the professional profile.	Done.
31.	1/NM1/090 NM101 Code SE	Add to Code Note 1: <u>“...in and application (1/BGN07/020 is code 07, 6A,6C,6N,6S,TS, or S4)...”</u> .	Administrative clarification.	Done.
32.	1/NM1/090 NM102 Code 1	Add “AZ” to the Code Note.	Administrative change.	Done.
33.	1/NM1/090 NM102 Code 2	Add “FN” and “KU” to the Code Note.	Administrative change.	Done.
34.	1/N2/100 Seg note	Replace “NM103/04/05/06/07” with <u>“1/NM103, 04, 05, 06, 07/090.”</u>	Administrative change.	Done.
35.	1/N3/110 Seg Note	Replace “NM103/04/05/06/07” and NM108/09” with: <u>“1/NM103, 04, 05, 06, 07/090.”</u> and <u>“1/NM108, 09/090”</u>	Administrative change.	Done.
36.	1/N4/120 Seg Note	Replace “NM103/04/05/06/07” and NM108/09” with: <u>“1/NM103, 04, 05, 06, 07/090.”</u> and <u>“1/NM108, 09/090”</u>	Administrative change.	Done.
37.	1/N9/130 Seg Note	Delete Note 1. Remove number from remaining note. Replace “NM1” with: <u>“NM1/090”</u>	Note 2 is sufficient.	Done.
38.	1/N9/130 N901 Code DP	Move code “DP” to 1/N907-01/130.	Provides the capability to name a department, service, etc. within a division or office.	Done.
39.	1/N9/130 N901 Code JD Note	Capitalize “required” in the second sentence.	Administrative change.	Done.
40.	1/N9/130 N901 Code TJ Note	Revise note to read: <u>“...Federal Taxpayer’s Identification Number (TIN).”</u>	Clarification.	Done.

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41.	1/N9/130 N907	Mark 1/N907/130 as optional (1/N907-01/130 and 1/N907-02/130 will default to Must Use).	Provides the capability to name a department, service, etc. within a division or office.	Done.
42.	1/N9/130 N907-01/02	Add code “DP” to 1/N907-01/130 with note. “When N901 is code 19, use to indicate the department, service, laboratory, or equivalent level within the major subdivision (code 19) of the grant applicant organization. For example, Department of Industrial Engineering or Sales Department.”	Provides the capability to name a department, service, etc. within a division or office.	Done.
43.	1/PER/140 Seg Notes	In Note 1, replace “NM1” with “ <u>1/NM1/090</u> ”. In Note 2, replace “NM101” with “ <u>1/NM101/090</u> ”.	Administrative change	Done.
44.	1/PER/140 PER02 note	In first sentence, replace “NM101” with “ <u>1/NM101/090</u> ”.	Administrative change	Done.
45.	1/PER/140 PER03	Change to Optional.	Changed to mirror the 850 4010 IC.	Done.
46.	1/PER/140 PER03 DE Notes	Delete DE Notes.	Changed to mirror the 850 4010 IC.	Done.
47.	1/PER/140 PER03 Codes	Delete all codes except TE - Telephone.	Changed to mirror the 850 4010 IC.	Done.
48.	1/PER/140 PER04	Change to Optional.	Changed to mirror the 850 4010 IC.	Done.
49.	1/PER/140 PER04	Add DE Note. “The telephone number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code. If an extension applies to the telephone number, concatenate the letter X plus the extension at the end of the number, e.g., 17035551212X123.	Changed to mirror the 850 4010 IC.	Done.
50.	1/PER/140 PER05 DE Notes	Delete DE Notes.	Changed to mirror the 850 4010 IC.	Done.
51.	1/PER/140 PER05 Codes	Delete all codes except FX - Facsimile.	Changed to mirror the 850 4010 IC.	Done.
52.	1/PER/140 PER06	Add DE Note. “The fax number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code.”	Changed to mirror the 850 4010 IC.	Done.
53.	1/PER/140 PER07 Codes	Delete all codes except EM - Electronic Mail.	Changed to mirror the 850 4010 IC.	Done.
54.	2/HL/010 Seg Note 1	Add “... <u>budget or professional profile</u> .” to the end of Note 1.	Identifies the new budget and professional profile functionality.	Done.

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55.	2/HL/010 Seg Note 2	Add "...for an application" to Note 2.	Administrative change.	Done.
56.	2/HL/010 Seg Note 2	Delete sub-notes c. and g. from Note 2. Reletter remaining sub-notes	Deletion of the Previous Award and medial Procedure loops.	Done.
57.	2/HL/010 Seg Note 2a	Add " <u>PC</u> " after "Project".	Administrative change.	Done.
58.	2/HL/010 Seg Note 2	Add Note 2.b. " The Project loop must have at least one Key Person (26) loop to identify the principle investigator. Additional Key Person loops may be included to identify other project personnel as needed."	Administrative change.	Done.
59.	2/HL/010 Seg Note	Delete "...Key Person (26)" from Note 2.d.	Administrative change.	Done.
60.	2/HL/010 Seg Note	Add Note 3. - 3.d.. See attachment for item 60.	Identifies the loop structure for budgets.	Done.
61.	2/HL/010 Seg Note	Add Note 4. "The transaction set hierarchy for a professional profile as defined by this HL loop shall be one or more Key Person loops, with no subordinate loops."	Identifies the loop structure for professional profiles.	Done.
62.	2/HL/010 HL03 DE Note	Delete "..., Previous Award," and "..., or Procedure." from Note.	Deletion of the Previous Award and medial Procedure loops.	Done.
63.	2/HL/010 HL03 Code 26 Notes	Revise note. See attachment for item 63.	Identifies additional code usage for profiles.	Done
64.	2/HL/010 HL03 Code AS Note	Add " <u>animals</u> " to end of third sentence.	Administrative change	Done
65.	2/HL/010 HL03 Code IB	Delete code IB - Contract.	Deletion of the Previous Award and medial Procedure loops.	Done.
66.	2/HL/010 HL03 Code OS Note	Revise note 1 to read: "In an application, use to indicate an Other Support loop subordinate to a Key Person loop."	Clarification.	Done
67.	2/HL/010 HL03 Code PC Note	Revise first sentence to read: "Use is REQUIRED in an application as the first iteration of the HL loop to identify the Project loop."	Clarification	Done
68.	2/HL/010 HL03 Code IB	Delete code PD - Procedure.	Deletion of the Previous Award and medial Procedure loops.	Done.
69.	2/QTY/020 Seg Note	Delete "..., Animal Subject loop) or 4 (Care group loop)." from the Note.	Business requirements changed.	Done.

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70.	2/QTY/020 QTY01 Code 1K, S7, S8, and TO	Delete codes 1K - Time Units, S7- Age, High Value, S8 - Age, Low Value, and TO -Total.	Business requirements changed.	Done.
71.	2/QTY/020 QTY03 C00101	Revise DE Note. “When QTY01 is code E5 use code EA.	Business requirements changed.	Done.
72.	2/QTY/020 QTY03 C00101	Delete codes DA - Days, MO - Months, and YR - Years.	Business requirements changed.	Done.
73.	2/AMT/030	Mark the AMT segment Not Used	Business requirements changed.	Done.
74.	2/DTM/050 DTM05 DTM06	Mark “Not Used”.	DTM02 is now 8/8	Done.
75.	2/PAM/060 Seg Note 2	Revise Note 2 and newly numbered Note 3 to read: “2. When HL03 is code OS (Other Support loop), one occurrence of this segment is REQUIRED to identify the other support project: type (active, pending, or planned), funding (total or direct costs), duration, and start/stop dates. It may also identify the average level of effort on the other support project for the individual identified in the parent Key Person loop.  3. One or two additional occurrences may be used to identify the number of months of support for the individual by period.”	Clarification and simplification.	Done.
76.	2/PAM/060 Seg Note 3 & 4	Delete old Notes 3 and 4.	Deletion of the medical Procedure loop and an change in business requirements.	Done.
77.	2/PAM/060 PAM01/02/ 03	Mark data elements as “Must Use”.	Administrative change.	Done.
78.	2/PAM/060 PAM01 Code 37 Note	Revise note as indicated: “...to indicate the duration of the <u>ACTIVE (funded) other support project.</u> ”	Administrative change.	Done.
79.	2/PAM/060 PAM01 Code A3 Note	Number note as 1. Add note “2. When HL03 is code OS (other support) use to indicate the duration of the PENDING other support project.”	Change to convey revised data requirements.	Done.
80.	2/PAM/060 PAM01 Code AY Note	Revise note as indicated: “...to indicate the <u>duration of the PLANNED other support project.</u> ”	Change to convey revised data requirements.	Done.

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81.	2/PAM/060 PAM01 Code DY	Delete Code DY.	Deletion of the medical Procedure loop and an change in business requirements.	Done.
82.	2/PAM/060 PAM01 Code KA	Delete Code KA.	Clarification.	Done.
83.	2/PAM/060 PAM01 Code E3 Notes	Revise and number code notes to read: <p>“1. ...the number of <u>months of other support to be received by the individual in the period correlating to the first year of the application currently being submitted. Use either one or two occurrences as needed. If this code is used, PAM06 - 08 must also be used.</u></p> <p>2. Use only in additional occurrences of the PAM segment which follow a PAM segment in which one of PAM01 codes 37, A3, or AY is being used.”</p>	Change to convey revised data requirements.	Done.
84.	2/PAM/03 PAM03 C00101	Delete code DA - Days.	Deletion of the medical Procedure loop and an change in business requirements.	Done.
85.	2/PAM/060 PAM04 DE Note	Add note. <p>“When HL03 is code OS (Other Support) and PAM 01 is one of 37, A3, or AY use either code 80 or code F.”</p>	Change to convey revised data requirements.	Done.
86.	2/PAM/060 PAM04 Code 80 Note	Add first sentence before paragraph 1. <p>“Use to indicate the total award amounts:”</p> <p>Replace note 2 with:  “2. When HL03 is code OS (Other Support loop) and PAM01 is code A3, use to indicate the amount for the pending project.”</p> <p>Revise note 3:  “...to indicate the <u>amount for the planned project.</u>”</p>	Change to convey revised data requirements.	Done.
87.	2/PAM/060 PAM04 Code KE	Delete code KE.	Change to convey revised data requirements.	Done.

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88.	2/PAM/060 PAM04 Code F	Add Code F - Annual Limit with notes: “Use to indicate the annual direct costs for the applicable year: 1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, use to indicate the amount for the active project.” 2. When HL03 is code OS (Other Support loop) and PAM01 is code A3, use to indicate the amount for the pending project.” 3. When HL03 is code OS (Other Support loop) and PAM01 is code AY, use to indicate the amount for the planned project.”	Change to convey revised data requirements.	Done.
89.	2/PAM/060 PAM04 Code PY	Delete code PY.	Deletion of the medical Procedure loop and an change in business requirements.	Done.
90.	2/PAM/060 PAM06 Notes	Add the number 1 to the note and revise note: 1. <u>...codes 37, A3, or AY, use to identify the type of time period for the other support project.</u>  Add note 2. 2. When HL03 is code OS (Other Support loop) and PAM01 is code E3, must use to identify the type of time period for which the individual receives the support.”	Administrative change	Done.
91.	2/PAM/060 PAM07 Code 193 Notes	Revise both notes: “1. ...and PAM01 is code 37, <u>A3</u> or <u>AY</u> , use to indicate the actual or estimated start of the other support project.” “2. ...and PAM01 is code <u>E3</u> , use to indicate the actual or estimated start of the individual’s other support.”	Change to convey revised data requirements.	Done.
92.	2/PAM/060 PAM10 Code 194 Notes	Number original note “1.” and revise to read: 1. <u>...is either code 37, A3, or AY use to indicate the date that other support projects is anticipated to end.</u> Add note 2. “2. Do not use with PAM01 code E3.”	Change to convey revised data requirements.	Done.
93.	2/PAM/060 PAM13 Code 14 note	Revise note: “...is code <u>37, A3</u> or <u>AY</u> ,....”	Administrative change.	Done.
94.	2/HSD/070	Mark segment Not Used.	Deletion of Procedure loop.	Done.
95.	2/NX1/080 NX101-05	Replace Code 1F with “ <u>X6</u> ” - International Organization.	Administrative change. More appropriate code name.	Done.



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96.	2/NX1/080 NX101-105	Replace Code 91 with “ <u>J9</u> ” - Community Agent. A note: “Use to indicate a Community Action Agency.”	Administrative change. More appropriate code name.	Done.
97.	2/NX1/080 NX1011-05	Replace Code ZZ with “ <u>X8</u> ” Hispanic Service Institute.	Administrative change. More appropriate code name.	Done.
98.	2/NX1/080 NX101-105	Add the following codes: “ <u>22</u> ” Minority-Owned Business, Small “ <u>FY</u> ” Veterinary Hospital “ <u>H2</u> ” Sub-Office. “ <u>QU</u> ” Veterinarian.	To satisfy additional business requirements.	Done.
99.	2/NX1/080 NX101 Code A8 note	In last sentence of note 2, replace “1F” with “X6”.	Administrative change.	Done.
100.	2/YNQ/090 Seg Note	Delete Note 2.	Deletion of Procedure loop.	Done.
101.	2/YNQ/090 YNQ01	Mark as “Must Use.”	Administrative change.	Done.
102.	2/YNQ/090 YNQ01 Code G9 note	Revise note to read: “Does this project have an actual or potential impact on the environment or has an exemption been authorized? Use if the answer is yes. A yes response requires an explanation or citing of the exemption number in YNQ05-07.”	Clarification.	Done.
103.	2/YNQ/090 YNQ01 Code J2	Delete code J2.	Business requirements changed.	Done.
104.	2/YNQ/090 YNQ08 YNQ09 YNQ10	Mark all “Not Used”	Administrative change.	Done.
105.	2/N9/100 N901 Code 43 Note 1	Delete “, AS (Animal Subject loop), PD (Procedure loop), or IB (Previous Award loop),...” from Note 1. Add to second sentence of note 1. “...is code 4 ( <u>Group</u> ), a gender...”	Deletion of the Previous Award and medical Procedure loops, a change in business requirements, and an administrative change.	Done.
106.	2/N9/100 N901 Code L4 Note 1	Remove the words “Application” and “..., or PD (Procedure loop)...” from the first sentence.	Administrative change and the deletion of the Procedure loop.	Done.
107.	2/N9/100 N901 Code M7	Delete code M7.	Deletion of the medical Procedure loop.	Done.

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108.	2/N9/100 N901 Code WI Note	Revise Notes 1 and 3 to read: “1. Use to indicate the applicable exemption to the Common Rule for Protection of Human Subjects (1, 2, 3, 4, 5, or 6). The number is cited in N902. See the specific agency implementation of Common Rule for category definitions.”  “3. ...use <u>this</u> code....”	Administrative change.	Done.
109.	2/N9/100 N901 Code Y9 Note	Add words to Notes 2 and 3. “2. ...Consortium <u>loop</u> ...” “3. ...code in <u>that</u> ...”	Administrative change.	Done.
110.	2/N9/100 N902	Mark as optional.	Administrative change.	Done.
111.	2/N9/100 N902 DE Note	Delete the word “Application” from the first sentence. Add sub-category E.7. Delete sub-categories G.1 through G.5.3. Delete sub-categories H.2 through H.5. Delete category J and all J sub-categories. (Expanded J list was moved to 1/N9/060)	Administrative change.	Done.
112.	2/N9/100 N904 DE Note	Add words to Notes 2 and 3. “...PC (Project loop), SP (Sub-project loop), CO (Consortium loop)...”.	Administrative change.	Done.
113.	2/L11/105 Seg Note	Change “N901” to <u>2/N901/100</u> ”	Administrative change.	Done.
114.	2/L11/105 L1103	Mark new DE “Not Used”	Administrative change.	Done.
115.	2/MTX/110 Seg Note	In both notes, change “N901” to “ <u>2/N901/100</u> ”.  In note 1, add the word “ <u>the</u> ” after “provide”.  In note 2, delete the word “Application”	Administrative change.	Done.
116.	2/INX/120 Seg Note 1	Delete the words “..., AS (Animal Subject loop), PD (Procedure loop), or IB (Previous Award loop),...” from Note 1.	Deletion of the Previous Award and medical Procedure loops, and a change in business requirements.	Done.
117.	2/INX/120 Seg Note 3	Add the words “ <u>implementation convention</u> ” after “this” in the first sentence.	Administrative change.	Done.

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118.	2/INX/120 INX01 DE Notes	Revise notes to read: “2. ...identifiers (e.g. A1 and E1) in <u>INX02-02</u> and <u>INX02-03</u> .....”  “3. ...B3, in <u>INX02-02</u> ...and in <u>INX02-03</u> , ...”  “4. ...: INX*1*1:A1:E3@”  “5. ...bottom: INX*2*3:B3:3@”	Administrative change.	Done.
119.	2/INX/120 INX01 INX02 C03604-05 Notes	Change “INX02-1” to “INX02-01” in both DE notes.	Administrative change.	Done.
120.	2/PPL/170 PPL05	Mark PPL05 as Optional.	Business requirements change.	Done.
121.	2/PPL/170 PPL05 Codes AA and AC Notes	In both code notes revise notes to read: “PD/PDD” to “ <u>2/PD/190 &amp; 2/PDD/200</u> ”  “(code 88)” to “ <u>2/PD07/190</u> code 88)”	Administrative change.	Done.
122.	2/PD/190 Seg Note	Change “PDD” to “ <u>2/PDD/200</u> ”	Administrative change.	Done.
123.	2/PD/190 PD03 C0104 DE Note	Change PD03-1” to PD03-01”	Administrative change.	Done.
124.	2/PD/190 PD04 Notes	Revise notes to read: “1. When <u>PD03-01</u> is code DO and <u>PD03-04</u> ...”  “2. When <u>PD03-01</u> is code DO and <u>PD03-04</u> , ...”  “3. When <u>PD03-01</u> ....”  “4. When <u>PD03-01</u> ...and <u>PD03-04</u> is not used, use to indicate a discrete amount is specified in <u>2/PDD03/200</u> ...”	Administrative change.	Done.
125.	2/PD/190 PD04 Notes	Renumber paragraphs. Old 3. is now 1. Old 4. is now 2. Old 1. is now 3. Old 2. is now 4.	Administrative change.	Done.
126.	2/PD/190 PD07 Code 03 Note	Delete “55” and “ZZ”. Add “ <u>EH</u> ” and “ <u>RU</u> ” to listed codes.	New X12 codes approved.	Done.
127.	2/PD/190 PD07 Code 18 Note	In second sentence, change “in” to “ <u>into</u> ”	Administrative change.	Done.

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128.	2/PD/190 PD07 Code 79 Note	Delete “58” and “76”. Add “FE” and “TU” to listed codes.	New X12 codes approved.	Done.
129.	2/PD/190 PD07 Code 88 Notes	In both Notes 2 and 3 change “PPL05” to “ <u>2/PPL05/170</u> ”	Administrative change.	Done.
130.	2/PD/190 PD07	Replace codes as identified below. Move notes to replacement codes.  Replace code “55” with Code “EH” Replace code “58” with Code “FE” Replace code “76” with Code “TU” Replace code “ZZ” with Code “RU”	Uses new codes that are more appropriate	Done.
131.	2/PD/190 PD08 Note 1	Revise note to read: “1. ....use is REQUIRED to <u>provide the Government User Identification Object of all Key Persons.</u> ”	New requirement.	Done.
132.	2/PD/190 PD09	Delete last note. “For categories....”	Administrative change.	Done.
133.	2/PDD/200 Seg Usage	Add “(Must Use)” after Optional.	Administrative change	Done.
134.	2/PDD/200 Seg Notes	In both segment notes, change “PD” to “ <u>2/PD/290</u> ”	Administrative change	Done.
135.	2/PDD/200 PDD02 notes	Revise notes to read: “1. When <u>2/PD03-01/190</u> ...”  “2. When <u>2/PD03-01/190</u> ...and <u>2/PD03-04/190</u> ...”  “3. When <u>2/PD03-01/190</u> ...and <u>2/PD03-04/190</u> ...”  “4. When <u>2/PD03-01/190</u> is code DO, <u>2/PD03-04/190</u> is not used,...”  “5. When <u>2/PD03-01/190</u> is code DO, <u>2/PD03-04/190</u> is not used,...”  “6. When <u>2/PD03-01/190</u> is code DO, <u>2/PD03-04/190</u> is not used, and <u>2/PD07/190</u> is code 73 or 74,...”  Add note 7:  “7. When <u>2/PD03-01/190</u> is code DO, <u>2/PD03-04/190</u> is not used, and <u>2/PD07/190</u> is other than 42, 73, 64, or 79, do not use this data element.”	Administrative change	Done.

Item	Location	Revision	Rationale	Disposition
136.	2/PDD/200 PDD02 Notes	Renumber notes. Paragraphs 1, 2, 3 remain the same. Old paragraph 4. is now “6.” Old paragraph 5. is now “4.” Old paragraph 6. is now “5.”	Administrative change.	Done.
137.	2/PDD/200 PDD05	Mark “Not Used”.	New DE not required	Done.
138.	2/NM1/340 Seg Notes	Rewrite/revise segment notes. See attachment for item 138.	Expand to identify new functionality.	Done.
139.	2/NM1/340 NM101 Code 17 Note	Revise note: “When HL03 is code 26 (Key Person loop), use multiple occurrences as needed to indicate the name of a consultant. DO NOT USE if the consultant is identified as a key person (code 9K).”	Administrative change.	Done.
140.	2/NM1/340 NM101 Code 1P Note	Revise note within the parentheses to: “(1/NM1/090 code SE)”	Administrative change.	Done.
141.	2/NM1/340 NM101 Code 2J	Add code 2J - Individual, with note: “Use only with BGN07 code FG and HL03 code 26 to identify the individual for whom the professional profile is being submitted.”	To identify new functionality.	Done.
142.	2/NM1/340 NM101 Code 61 Notes	Add new Note 1: “1. When HL03 is code PC (Project loop), use multiple iterations as needed to indicate the location(s) where project work will be performed in addition to the location identified by 1/NM101/090 code FA.”  Revise old Note 1 (new note 2): Delete “ <u>PC (Project loop).</u> ” “...to the location identified by <u>1/NM1/090 code FA.</u> ”  Delete old Notes 2. and 3.	Deletion of the Procedure loop, a change in business requirements, and administrative changes.	Done.
143.	2/NM1/340 NM101 Code 92 Note	Revise note: “...or planned <u>other</u> support organizations”	Administrative change.	Done.
144.	2/NM1/340 NM101 Code 9K Note	Revise Note to read: “When HL03 is code 26 (Key Person loop), use to indicate a project key person.”	Deletion of Previous Award loop and administrative change.	Done.
145.	2/NM1/340 NM101 Code 9P Note	Revise Note 1 to read: “In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS) and HL03 is code 26 (Key Person loop), use is REQUIRED to indicate the principal investigator. There can only be one principal investigator in a Project loop.”	Deletion of Previous Award loop and administrative changes.	Done.

Item	Location	Revision	Rationale	Disposition
146.	2/NM1/340 NM101 Code 9P Note	Revise Note 3 to read: “Do not use in a professional profile (BGN07 is code FG).”	Administrative change.	Done.
147.	2/NM1/340 NM101 Code 9S Note	Revise Note to read: “In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS), when HL03 is code 26 (Key Person loop), use to indicate a co-investigator.”	Deletion of Previous Award loop and administrative changes.	Done.
148.	2/NM1/340 NM101 Code EY Note	Delete Note 2 and revise Note 1 to read: “In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS), when HL03 is code 26 (Key Person loop), use to indicate employees (nonclerical) other than principal and co-principal investigators and key persons.”	Deletion of Previous Award loop and administrative changes.	Done.
149.	2/NM1/340 NM102 Code 1 Note	Delete “AZ” from the Note.	Deletion of the Previous Award loop.	Done.
150.	2/N2/350 Seg Note	Add note. “This segment is not necessary when the cited organization can be identified by a code value in 2/NM108, 09/340.”	Clarification.	Done.
151.	2/N3/360 Seg Note	Add note. “This segment is not necessary when the cited organization can be identified by a code value in 2/NM108, 09/340.”	Clarification.	Done.
152.	2/N4/350 Seg Notes	Revise/reorder notes. “1. This segment is not necessary when the cited organization can be identified by a code value in <u>2/NM108, 09/340.</u> ”  “2. When <u>2/NM101/340</u> is code 61 and <u>2/N901/400</u> is code RU.....”	Clarification.	Done.
153.	2/N4/370 N404 Note	Revise note: Change “NM101” to “ <u>2/NM101/340</u> ” Change “NM10108/98” to “ <u>2/NM108, 09/340.</u> ”	Administrative change.	Done.
154.	2/N4/370 N405 Code CY Note	Revise note: Change “NM101” to “ <u>2/NM101/340</u> ”.	Administrative change.	Done.
155.	2/PER/375 Seg Note	Revise Note to read:  “When 2/NM101/340 is code 2J, 9P or 9S, use is REQUIRED to provide communications numbers associated with the principal investigator, all co-investigators, and the individual for whom the professional profile is being submitted.”	Administrative change.	Done.

Item	Location	Revision	Rationale	Disposition
156.	1/PER/140 PER02	Add DE Note. “Use to identify the name of a point of contact. Last name, followed by first name is preferred. If the whole name is longer than 35 characters, the use of initials for the first name is recommended.	Changed to mirror the 850 4010 IC.	Done.
157.	1/PER/140 PER03	Change to Optional.	Changed to mirror the 850 4010 IC.	Done.
158.	1/PER/140 PER03 DE Notes	Delete DE Notes.	Changed to mirror the 850 4010 IC.	Done.
159.	1/PER/140 PER03 Codes	Delete all codes except TE - Telephone.	Changed to mirror the 850 4010 IC.	Done.
160.	1/PER/140 PER04	Change to Optional.	Changed to mirror the 850 4010 IC.	Done.
161.	1/PER/140 PER04	Add DE Note. “The telephone number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code. If an extension applies to the telephone number, concatenate the letter X plus the extension at the end of the number, e.g., 17035551212X123.	Changed to mirror the 850 4010 IC.	Done.
162.	1/PER/140 PER05 DE Notes	Delete DE Notes.	Changed to mirror the 850 4010 IC.	Done.
163.	1/PER/140 PER05 Codes	Delete all codes except FX - Facsimile.	Changed to mirror the 850 4010 IC.	Done.
164.	1/PER/140 PER06	Add DE Note. “The fax number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code.”	Changed to mirror the 850 4010 IC.	Done.
165.	1/PER/140 PER07 Codes	Delete all codes except EM - Electronic Mail.	Changed to mirror the 850 4010 IC.	Done.
166.	2/PER/375 PER09	New data element. Mark “Optional” with DE note: <u>“Use to provide the office symbol, mail stop, or organization routing code of the individual cited in PER02.”</u>	Administrative change.	Done.
167.	2/DMG/380 Seg note	Number original note as “1.” Revise note to read: <u>When HL03 is code 26 (Key Person loop) and 2/NM101/340 is code 9P or 9S, ...”</u>	Administrative change.	Done.
168.	2/DMG/380 Seg Note	Add Segment Note 2.  <u>“2. Use multiple occurrences as needed to provide race and ethnicity codes.”</u>	Administrative change.	Done.
169.	2/DMG/380 DMG02	Mark DMG02 as Optional with Note: “Use to indicate the individual’s date of birth”.	Business requirement.	Done.

Item	Location	Revision	Rationale	Disposition
170.	2/DMG/380 DMG03 DE Note	Revise note:  “Use..... <u>occurrence</u> ....”	Administrative change.	Done.
171.	2/DMG/380 DMG03 Code A	Add code A - Not Provided	New requirement.	Done.
172.	2/DMG/380 DMG05 Codes	Add codes:  7 - Not Provided B - Black C - Caucasian	New code to replace old codes.	Done.
173.	2/DMG/380 DMG05 Codes	Delete codes N and O.	New codes being used.	Done.
174.	2/DMG/380 DMG05 Code Notes	Add code notes:  H - Hispanic “Use for Hispanic or Latino.”  P - Pacific Islander “Use to indicate a Native Hawaiian or other Pacific Islander.”	New codes being used.	Done.
175.	2/DMG/380 DMG06 Note 1	Change “NM101” to “ <u>2/NM101/340</u> ”	Administrative change.	Done.
176.	2/EMS/390 Seg Note 1	Revise Note 1.  “1. When HL03 is <u>cod 26 (Key Person loop)</u> and <u>2/NM101/340</u> is <u>code ...identified in 2/NM103/340.</u> ”	Deletion of Previous Award loop and administrative changes.	Done.
177.	2/EMS/390 Seg Note 2	Revise Note 2.  “2. When HL03 is code <u>26 (Key Person loop)</u> , .....(9S) <u>has a disability.</u> ”	Administrative change.	Done.
178.	2/EMS/390 EMS01 Notes 1/2	Revise notes:  “1. When 2/NM101/340 is code 17, 9K, or EY, identify the project role for the individual.” “2. When 2/NM101/340 is code 9P or 9S, and if the principal investigator has a disability, use to cite the nature of the disability. Also cite code DS in EMS04.”	Administrative changes.	Done.
179.	2/EMS/390 EMS04 Code DS	Revise Note:  When <u>2/NM101/340</u> is code 9P or 9S, use to indicate that the principal investigator <u>has a disability.</u> ”	Administrative change.	Done.
180.	2/N9/400 Seg Notes	In both Notes, change “NM101” to “ <u>2/NM101/340</u> ”	Administrative change.	Done.
181.	2/N9/400 N901 Code Notes	In all Code Notes where “NM101” appears, change to read: “ <u>2/NM101/340</u> ”	Administrative change.	Done.



Item	Location	Revision	Rationale	Disposition
182.	2/N9/400 N901 Code 19 Note	Add code “2J,” to listed codes.	To identify new professional profile functionality.	Done.
183.	2/N9/400 N901 Code DP	Delete code DP (Move with note to N907-01 code DP)	Administrative change.	Done.
184.	2/N9/400 N901 Code JD	Add code JD - User Identification with notes: “1. Use to indicate the Government User Identification Object.  2. Use is REQUIRED in an application when the individual identified in 2/NM101/340 is a key person (Code 9K, 9P or 9S).”	New requirement.	Done.
185.	2/N9/400 N901 Code L4 Note	Number and Revise Notes: “1. In applications (when 2/NM101/340 is code 9P 9K, or 9S) and professional profiles (2/NM101/340 is code 2J) when HL03 is code 26 (Key Person loop), use to indicate the paragraph number that describes the text that will appear in the 2/MTX/410 segment associated with the individual identified in the 2/NM1/340 segment. This includes the individual’s published articles when specific Federal Agency instructions direct that they be provided in free-form text.  2. Use multiple iterations as needed to completely describe the required information.”	Clarification.	Done.
186.	2/N9/400 N901 Code P5 Note	Revise Note:  “When 2/NM101/340 is code 17, 2J, 9K, 9P, 9S, or EY, use is REQUIRED to indicate the position title of the individual. Cite the title in N903.”	Clarification.	Done.
187.	2/N9/400 N901 Code SY Notes	Delete Note 2.	Deletion of Previous Award loop.	Done.
188.	2/N9/400 N902	Mark as optional.	Administrative change.	Done.

Item	Location	Revision	Rationale	Disposition
189.	2/N9/400 N902 DE Notes	Delete Note 2.  Renummer Note 3 to 2.  New Note 3: “For codes D.2-D.9 use a separate iteration of the N9 loop to identify each different event (e.g., each employment position should be in a separate N9 loop, each advisor should be in a separate N9 loop, etc.)”  Add the following paragraph numbers to list. D.5.1 Medline Accession Number D.5.2 Other Electronic Library D.6 Advisors D.7 Advisees D.8 Collaborators/Nature of Collaboration D.9 Other Conflicts of Interest (Use only in applications)	To identify new professional profile functionality.	Done.
190.	2/N9/400 N903 DE Note 1	Revise note: “...to identify the <u>name of the</u> geographical location.”	Clarification.	Done.
191.	2/N9/400 N903 Code Notes	Delete Note 1.  Renummer Notes: Old note 3 is now note 2. Old note 2 is now note 1.	Deletion of the Previous Award loop and for clarification.	Done.
192.	2/N9/400 N904 Code Notes	Delete note 1.	Deletion of the Previous Award loop and administrative changes.	Done.
193.	2/N9/400 N907 C04001 Code DP	Add code DP from N901. Revise note:  “ <u>Use as needed when N901 is code 19</u> to... Cite the name in <u>N907-02</u> .”	Administrative change.	Done.
194.	2/N9/400 N907 C04003 Code 76 Note	Change “N4” to “ <u>2/N4/370</u> ”	Administrative change.	Done.
195.	2/N9/400 N907 C04003 C04004	Mark both DEs as “Optional”.	Administrative change.	Done.
196.	2/MTX/410 Seg Note 2	Change “code PC (Project loop)” to “ <u>code 26 (Key Person loop)</u> ”	Administrative change.	Done.

Item	Location	Revision	Rationale	Disposition
197.	2/MTX/410 Seg Notes	Renumber paragraphs:  Old paragraph 2 is now paragraph 1. Old paragraph 1 is now paragraph 2.  (Paragraphs 3 and 4 remain the same)	Clarification.	Done.
198.	2/DEG/420 Seg Note 1	Revise note to read:  When HL03 is code <u>26 (Key Person loop)</u> , and <u>2/NM101/340</u> is code <u>2J, .....</u>	Deletion of the Previous Award loop and administrative changes.	Done.
199.	2/FOS/430 FOS02 FOS03	Mark both DEs as “Not Used”	Administrative change.	Done.
200.	2/FOS/430 FOS04	Mark as “Must Use”. In note, end sentence after “...or Physics).”	Administrative change.	Done.

**ITEM # 19**1/N902/060:

When N901 is code L4 use one of the following codes J.1 - J.22:

- J.1 Beginning Investigator
- J.2 Small Grant For Exploratory Research
- J.4 Facilitation for Scientific & Engineers with Disabilities
- J.5 Research Opportunity Award
- J.6 Single Investigator
- J.7 Young Investigator
- J.8 Small Business Innovative Research Program
- J.9 Small Business Technology Transfer Program
- J.10 Research Instrumentation Program
- J.11 Historically Black College or University/Minority Institution Award
- J.12 Agriculture Research Enrichment Award
- J.13 Augmentation Awards for Science and Engineering Research Training
- J.14 Defense Experimental Program to Stimulate Competitive Research
- J.15 Experimental Program to Stimulate Competitive Research
- J.16 Short Term Innovative Research
- J.17 University Innovative Research
- J.18 University Research Initiative
- J.19 Environmental Research Initiative
- J.20 Automatic Target Recognition
- J.21 Infrastructure Support Instrument
- J.22 Multi Disciplinary University Research Initiative Program

**ITEM # 60**2/HL03/010:

3. The transaction set hierarchy for a budget as defined by this HL loop shall be:
  - a. The Project (PC) loop shall be the first iteration of the HL loop.
  - b. The Project loop may have any number of subordinate Sub-project (SP), Consortium (CO) loops.
  - c. Sub-project and Consortium loops may have any number of subordinate Sub-project, Consortium loops.
  - d. Each of these loops must consist only of one or more 2/PPL/270 loops.

**ITEM # 63**Code 26:

1. Use to indicate a Key Person loop. In an application:
  - a. Use one loop iteration to identify a single key person. At least one Key Person loop must be included under the project loop to identify the Principal investigator.
  - b. Also use this loop when the individual has active, pending or planned other support.
  - c. A Key Person loop must have the Project, a Sub-project, or a Consortium loop as its parent. For each Key Person with other support a subordinate Other Support loop is REQUIRED for each other support project to identify the level of support, the organization providing the support, and other related data.

2. In a professional profile, one or more single Key Person loop iterations may be used. Each Key Person loop will provide the professional profile of a single individual. The Key Person loop will be the only type of loop without any parent or subordinate loops.

**ITEM # 138**

2/NM101/340 segment notes:

1. Use this 2/NM1/340 loop to identify organizations and individuals associated with the application and professional profile.
2. Use to identify individuals in an application by using the Key Person loop (HL03 is code 26). Each iteration of the Key Person loop will identify one individual.
  - a. One Key Person loop and NM1 loop is REQUIRED subordinate to the Project Loop to identify the Principal Investigator (NM101 code 9P). Additional Key Person Loops may be used, subordinate to the Project and any subordinate Sub-project or Consortium loops, to identify co-principal investigators, key persons, consultants or other employees as needed.
  - b. At least two iterations of this NM1 loop are REQUIRED within Other Support loops (HL03 is code OS), subordinate to a Key Person loop, to identify the supporting organization, and the principal investigator of the other support project. If the individual in the parent Key Person loop is not the Other Support project principal investigator, use NM101 code 9P within the Other Support loop to identify the principal investigator's name.
3. One iteration of this NM1 loop is REQUIRED in the Key Person loop (HL02 is code 26) of a professional profile. Use NM101 code 2J to indicate the individual.
4. Use to identify organizations as needed:
  - a. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) use NM101 code K8 to identify the Federal agency with which the indirect rates were negotiated.
  - b. When HL03 is code SP (Sub-project loop), use NM101 code 1P as needed to identify the responsible organization.
  - c. When HL03 is code CO (Consortium loop), use NM101 codes 1P and 75 to identify the responsible and participating organizations.
  - d. When HL03 is code OS (Other Support loop), use of this segment with NM101 code 92 is REQUIRED to indicate the supporting organization.
5. NM101 codes 2J, 9P, and 9S require:
  - a. an individual to be named (use NM103/04/05/06/07);
  - b. identification of their affiliated organization if different than the applicant organization (use NM102/03 or NM108/09);
  - c. their position title (use 2/N901/400 code P5).
6. For NM101 codes 17, 9K, and EY provide to the extent known:
  - a. an individual to be named (use NM103/04/05/06/07);
  - b. their affiliated organization (use NM108/09 or N2) ;
  - c. their position title (use 2/N901/400 code P5).The project role of the individual is REQUIRED in 2/EMS01/390.

7. When NM101 is code 1P, 20, 61, 75, 92, and K8, use to identify an organization. Whenever possible, identify the organization using only a qualifier and number in NM108/09. The organization's full address was established at the time of registration as a Federal Government trading partner. Where no qualified number is available, specify the organization's name in the NM103 (and 2/N2/350 as needed) and the full address in 2/N3/360 - 2/N4/370.